

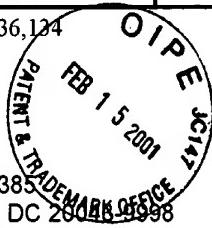


UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
 UNITED STATES PATENT AND TRADEMARK OFFICE
 WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/736,134	12/15/2000	Dante Pellegrini	22571-166778

VENABLE
 P.O. Box 34385
 Washington, DC 20014-0988



Docketing Missing Parts due April 12, 2001

CONFIRMATION NO. 8140

FORMALITIES LETTER



OC00000005728943

Date Mailed: 02/02/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$134.
 - \$54 for 3 total claims over 20.
 - \$80 for 1 independent claims over 3 .
- The oath or declaration is missing.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 974.

Adjustment date: 03/01/2001 STEFERRA
 02/21/2001 AGOITOM 00000067 09736134
 03 FC:203 54.00 OP
 05 FC:202 00.00 OP

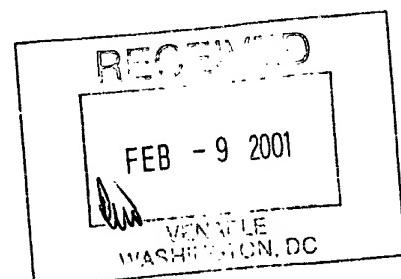
03/01/2001 STEFERRA 00000001 09736134 *A copy of this notice MUST be returned with the reply.*
 Repln. Ref: 03/01/2001 STEFERRA 0015495600
 DA# 220261 Name/Number: 09736134
 01 FC:203 27.00 OP DA# 220261 Name/Number: 09736134
 02 FC:202 40.00 OP FC: 704 \$67.00 CR

Customer Service Center

Initial Patent Examination Division (703) 308-1202

02/21/2001 AGOITOM 00000067 09736134 PART 1 - ATTORNEY/APPLICANT COPY

01 FC:201 355.00 OP ✓
 02 FC:205 65.00 OP ✓
 03 FC:203 54.00 OP ✓
 04 FC:202 80.00 OP ✓



sector #

FILING RECEIPT
PLEASE DATE STAMP AND RETURN TO US - BOX 34385



In re application of

Dante PELLEGRINI

U.S. Application No.: 09/736,134 Group Art Unit: 2161

Application Filed: December 15, 2000

Examiner: Unassigned

For: SYSTEM THAT TRANSFERS ASSET OWNERSHIP USING A PROBABILISTIC MODEL

PAPER(S) FILED ENTITLED:

1. Response to Notice to File Missing Parts (*w/Declaration & Power of Attorney and Revised Utility Application Transmittal Letter*)
2. Request for Corrected Official Filing Receipt

VENABLE
1201 New York Avenue, N.W.
Suite 1000
Washington, D.C. 20005-3917
Telephone: (202) 962-4800
Facsimile: (202) 962-8300

DOCKET NO.: 22571-166778
ATTORNEY/SEC: RSB/lpm

Date Filed: February 15, 2000

Venable Filing No. 94563

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Dante PELLEGRINI

U.S. Application No.: 09/736,134

Application Filed: December 15, 2000



Group Art Unit: 2161

Examiner: Unassigned

For: SYSTEM THAT TRANSFERS ASSET OWNERSHIP USING A PROBABILISTIC MODEL

REQUEST FOR CORRECTED OFFICIAL FILING RECEIPT

Assistant Commissioner for Patents
Washington, DC 20231

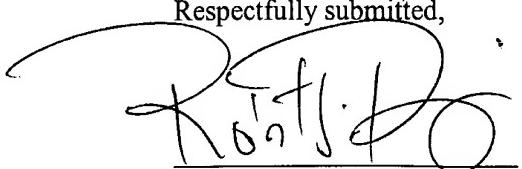
Sir:

A corrected filing receipt is hereby requested in view of the error which appeared in the original. For the convenience of the Patent and Trademark Office, attached is the original receipt on which the error has been noted in red.

IN THE APPLICANTS

Change "Dante Pellegrini, Resident Not Provided" to —Dante Pellegrini, Montara,
California—.

Respectfully submitted,


Robert S. Babayi
Registration No. 33,471

VENABLE
P.O. Box 34385
Washington, D.C. 20005-3917
Telephone: (202) 962-4045
Facsimile: (202) 962-8300

Date: February 15, 2001



January 15, 2001

Assistant Commissioner for Patents
Washington, D.C. 20231

Attention: BOX MISSING PARTS

Re: U.S. Patent Application No. 09/736,134
Inventor: Dante PELLEGRINI
Title: A SYSTEM THAT TRANSFERS ASSET OWNERSHIP USING A PROBABILISTIC MODEL
Filed: December 15, 2000

Sir:

In response to the Notice to file Missing Parts of Non-Provisional Application mailed December 15, 2000 submitted herewith are:

- Declaration and Power of Attorney in compliance with 37 C.F.R. § 1.63;
 Basic filing fee of \$355.00 (for small entity);
 Additional claim fee of \$54 for three (3) claims over 20;
 Additional claim fee of \$80 for one (1) independent claim over 3;
 Late filing fee of \$65.00 (small entity status)
 Copy of the Notice to file Missing Parts of Non-Provisional Application mailed February 2, 2001

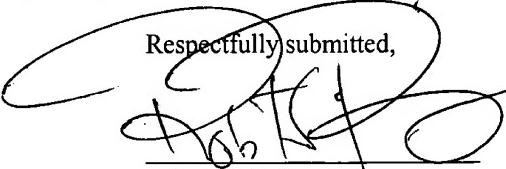
TOTAL FEE SUBMITTED: \$554.00

Also submitted herewith is:

- Revised Non-Provisional Patent Application Transmittal Letter indicating small entity status;
 Preliminary Amendment;
 Assignment Cover Sheet and Assignment (with \$40.00 fee).

If a greater or lesser fee is required, please contact me at the address listed below.

Respectfully submitted,


Robert S. Babayi
Registration No. 33,471

VENABLE
P.O. Box 34385
Washington, D.C. 20005-3917
Telephone: (202) 962-4045
Facsimile: (202) 962-8300



February 15, 2000

Assistant Commissioner for Patents
Washington, D.C. 20231

Attorney Docket: 22571-166778

Attention: BOX PATENT APPLICATION

Re: U.S. Application No.: 09/736,134

Inventor(s): Dante PELLEGRINI

Title: A SYSTEM THAT TRANSFERS ASSET OWNERSHIP USING A
PROBABILISTIC MODEL

Sir:

Applicant respectfully requests Examiner to incorporate this Transmittal Letter along with the previously submitted Transmittal Letter as originally filed on December 15, 2000 for the above-identified application.

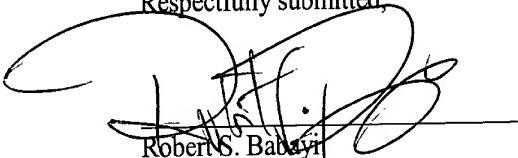
Applicant claims small entity status for the filing and subsequent prosecution of this application and therefore has attached a check for fees based on this status.

Revised Fees: (see formula below) Payable upon receipt of Notice of Missing Parts

Basic Filing Fee: Utility Application (<i>Small Entity Status</i>)	\$ 355.00
Excess Claims: $23 - 20 = 3 \times \$18$	54.00
Excess Independent Claims $4 - 3 = 1 \times \$80$	80.00
Late Filing Fee	65.00
<i>TOTAL ENCLOSED</i>	<u>\$554.00</u>

Should no remittance be attached, or should a greater or lesser fee be required,
please charge or credit our Deposit Account No. 22-0261.

Respectfully submitted,



Robert S. Babcock
Registration No. 33,471
VENABLE
P.O. Box 34385
Washington, D.C. 20043-9998

Telephone: (202) 962-4045
Facsimile: (202) 962-8300



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
 UNITED STATES PATENT AND TRADEMARK OFFICE
 WASHINGTON, D.C. 20231
 www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET.NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/736,134	12/15/2000	2161	0.00	22571- 166778	4	23	4 RSB



VENABLE
 P.O. Box 34385
 Washington, DC 20043-9998

CONFIRMATION NO. 8140

FILING RECEIPT



OC000000005728942

Date Mailed: 02/02/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Dante Pellegrini, ~~Residence Not Provided~~, Montara, California

Continuing Data as Claimed by Applicant

Foreign Applications

If Required, Foreign Filing License Granted 02/02/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts.

Non-Publication Request: No

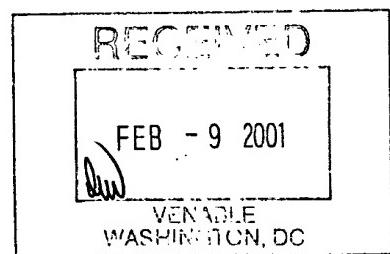
Early Publication Request: No

Title

System that transfers asset ownership using a probabilistic model

Preliminary Class

705



Data entry by : LUENG, YIN

Team : OIPE

Date: 02/02/2001



**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**



The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15 (b).

PLEASE NOTE the following information about the Filing Receipt:

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents
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Customer Service Center
Washington, DC 20231